

Highlights

Internal Audit Report to the
Board of Supervisors

Why We Did This Review

Maricopa County has comprehensive planning and zoning authority for over 3,000 square miles of land.

Planning and Development (P&D) is responsible for the planning, zoning, and building safety functions, including ensuring that construction is performed in conformance with adopted building codes. Our primary objective was to determine if internal controls are in place to ensure that building inspections are timely and effective.

We conducted this review in accordance with the FY 2012 Board of Supervisors approved audit plan.

What We Recommend

We recommend P&D management:

- Ensure that inspection requirements are clearly defined, establish written policies and procedures, and work with IT to develop more useful MIS reports
- Ensure that inspector qualifications are verified
- Establish user account management policies and procedures and improve training documentation
- Formalize security and change management policies and procedures and work with the permitting software vendor to establish an audit log



For more information, please contact
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Planning and Development Building Inspection Services

Inspections Are Timely, But Improvement Is Needed To Ensure Effectiveness

What We Found

Internal controls over inspection operations need improvement. Our findings are summarized below.

Summary of Audit Results	
Building Inspections Are Timely	Building inspections were performed timely (within one business day) in fiscal years 2010 and 2011.
Inspection Requirements Are Undefined	Improvement is needed to ensure that inspections are properly conducted. Specifically, (a) inspection requirements are undefined, (b) work performed is not well documented, and (c) policies and procedures are lacking.
Inspector Qualifications Are Not Properly Verified	Inspector qualifications are not properly verified and professional certifications are not tracked.
IT User Account Management Needs Improvement	Controls over user account management need improvement to ensure that system access privileges are (a) appropriately aligned with job duties, (b) properly approved and documented, and (c) removed promptly upon employee separation.
IT Policies Need Improvement	Security and change management policies and procedures need improvement. Many security management processes are informal or undocumented.
Key IT Controls Generally Follow Good Practices	Regional Development Services Agency information technology controls generally followed the international, generally accepted control framework known as COBIT in the following areas: sensitive licensure data, customer financial data, system interfaces, and service desk satisfaction.

We appreciate the excellent cooperation received from P&D management and staff while conducting this audit.